

NIH POLICY MANUAL

55806 - OVERDUE REPORTS -- DISCRETIONARY GRANTS

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A. Purpose:

This issuance states the guidelines for administrative action to be taken in assuring that grantees submit to NIH such reports as may be required as a condition of a grant award.

B. Background:

A recurring problem in the administration of many NIH grant programs is the delinquency on the part of some grantees in submitting reports required as a condition of the grant award. These reports are divided into two general categories, identified as progress reports and management reports. Progress (performance) reports describe technical scientific accomplishments toward meeting project objectives. Management reports cover financial, administrative, or other non-technical (non-scientific) aspects of the grant-supported project.

C. Applicability:

This issuance applies to all assistance programs (grants and cooperative agreements) in which the amount of the award and the decision to make the award are within the discretion of the NIH awarding unit.

D. References:

1. PHS Grants Administration Manual Chapter 1-42, Overdue Reports-Discretionary Grants
2. NIH Manual Issuance [5805](#), Closeout of NIH Grants
3. NIH Manual Issuance [5807](#), Submission and Acceptance of Revised Reports of Expenditures
4. NIH Manual Issuance [5808](#), Establishment and Documentation of Files and Other Records, Including Monitoring Actions, for NIH Grant Programs

E. Policy:

Each discretionary grant award is made subject to the condition that the grantee shall prepare certain technical progress reports and management reports and shall submit them on a predetermined basis to the appropriate unit at NIH. Awarding units shall take appropriate administrative action to assure the submission by grantees of required

reports.

F. Guidelines for Administrative Action:

The particular administrative action taken by the awarding unit will depend on the response, if any, received from the grantee to written requests for overdue required reports. The following procedures shall be followed by awarding units encountering a delinquent reporting situation:

1. *Delinquent Technical Progress Reports* When a grantee continues to be delinquent in submitting a required progress report or final report on the scientific and technical aspects of the grant (i.e., 30 days beyond the due date), the Grants Management Officer (GMO) of the awarding unit is responsible for the following actions:

- a. The GMO shall send a letter to the program director, principal investigator, or other person directly responsible for the report, notifying that person of the delinquency and requesting the report. The letter shall state that, if the report cannot be submitted promptly, the responsible individual should explain the reason and should state the date by which the awarding unit will receive the report.
- b. If neither the report nor an acceptable explanation for not submitting it is received within 30 days of the date of the first letter, the GMO shall promptly send a second letter. This letter shall be sent to the official of the grantee institution who is responsible for the administration of the grant notifying that official of the delinquency and of the prior attempt to obtain the required report. This letter may advise the grantee that failure to submit the report within 30 days could result in the awarding unit withholding any additional grants in which the principal investigator, or person responsible for the delinquent report, is involved until the overdue report is received.
- c. If neither the report nor an acceptable explanation for further delay is received within 30 days of the date of the second letter, the head of the grantee institution should be informed by letter from an awarding unit official at the Associate Director or Executive Officer level of the previous attempts to secure the required report. This letter may also state definitively that the awarding unit will not award any additional grants in which the program director, principal investigator, or person responsible for the delinquent report, is involved until the overdue report is received.
- d. If there is no acceptable response within 30 days of the above letter (it now being at least 120 days beyond the due date), the matter should be submitted to the Deputy Director for Extramural Research and Training (DDERT) with full documentation. (In the case of a final progress report, at least seven months have elapsed since the project

ended.) The DDERT will determine alternative procedures which may be applied in order to try to obtain the missing report.

2. Delinquent Management Reports A delinquent management report is defined as: A management report which has not been received within seven months following expiration of the grant budget period it is to cover or, specifically with respect to a Financial Status Report (FSR), an FSR which has appeared on the Division of Financial Management (DFM) monthly delinquent report list for three months. (Under the DFM reporting schedule, FSRs that have appeared on the delinquent list three times are then roughly 4 months overdue or, in other words, approximately seven months have elapsed since the grant budget period ended.) When, under the above definition, a grantee is delinquent in submitting a required management report, the GMO of the awarding unit is responsible for the following actions:

a. The GMO shall send a letter to the grantee official responsible for the administration of the grant notifying that official of the delinquency and requesting submission of the report within 30 days of the date of the letter.

b. If there is no reply within the 30 day period, the head of the grantee institution should be informed by letter from an awarding unit official at the Associate Director or Executive Officer level of the previous attempts (including the DFM delinquent report lists, if appropriate) to secure the required report. An acknowledgment of this letter within 2 weeks should be requested.

c. Continued delinquency will result in the following actions: (1) for active grants, no continuation award may be made if required reports have not been received. (2) for both active and expired grants, if required reports have not been received prior to the normal anniversary date of the next grant (i.e., within a 12-month period), the case should be submitted to the DDERT with full documentation. The DDERT will determine alternative procedures which may be applied to try to obtain the missing reports.

d. If a grantee institution is consistently delinquent on a general basis in the submission of required management reports, the situation will be called to the attention of the Division of Management Survey and Review, OA, NIH, for appropriate corrective action.

3. No Report Received - Waiver Procedure In unusual cases, the GMO of the awarding unit may waive the requirement for a progress or management report or extend the date for submission when the grantee can satisfactorily demonstrate that it cannot furnish the report in a timely manner for reasons legitimately beyond its control or the purposes for which the report is to be used will be accomplished through other means. Grant files must be adequately documented to support the awarding unit's action.

G. Effective Date:

This policy is effective on date of release.

H. Additional Information:

For further information on this manual chapter, contact the Grants Policy Office, OERT, 496-5967.

I. Additional Copies:

For copies of this manual chapter send a completed Form NIH 414-5, "Request for Manual Chapter" to the Printing and Reproduction Branch (P&RB), DAS, Building 31, Room B3BE07.